

**Naval Postgraduate School
Office of the Associate Provost and Dean of Research
Office of the Associate Provost for Academic Affairs**

Sponsored Program Policy/Guidance Memo No. SPPGM-03-09

Subj: PROPOSAL REVISIONS/EXTENSIONS/EXCESS FUNDS

1. There are certain administrative requirements necessary if changes to the proposed work become apparent once a project has been approved and funded. The most common changes are:
 - Change in the scope or the objective of the project or program
 - Change of Principal Investigator/Program Manager
 - Requirement for additional funding
 - Change in the period of performance
2. A proposal addendum must be completed by the PI/PM to document these changes. A proposal addendum signature page will be completed. A brief narrative will be provided if there is a change in the scope or the objective of the project or program. If additional funding is being requested, a brief explanation will be provided along with a budget for the additional funding. The addendum must be routed through the appropriate proposal approval review/signature process and submitted to the Research and Sponsored Programs Office (RSPO). The RSPO will forward the addendum to the sponsor after obtaining institutional approval.
3. If a no-cost extension is necessary on an approved sponsored project in order to complete the deliverable, the PI/PM should contact the RSPO to determine if the account funding can be extended. If the project is funded by the Department of Defense and the appropriation cited for the funding allows for the extension, the RSPO will prepare a letter and forward to the sponsor. The PI/PM should provide a brief paragraph as to why the extension is required to the RSPO for assistance in preparing the extension request. The RSPO will follow-up with the sponsor to assure a timely response. If the sponsor agrees to the no-cost extension, the RSPO will initiate a revised Approved Expenditure Control Page once the approval documentation is received from the sponsor.
4. The RSPO will also initiate the required administrative documentation for no-cost extensions with non-DoD agencies. The PI/PM should provide a brief paragraph as to why the extension is required to the RSPO for assistance in preparing the extension request. The RSPO will follow-up with the sponsor to assure a timely response. If the sponsor agrees to the no-cost extension, the RSPO will initiate a revised Approved Expenditure Control Page once the approval documentation is received from the sponsor.
5. If an approved sponsored project is coming to an end, funding in excess of that required to complete the deliverable must be returned to the sponsor. A no-cost extension cannot be requested simply to "use up" the unexpended balance.

6. If the PI/PM has expected future work funded by a current sponsor and residual funding is available from the current project, the residual funding may be utilized for the follow-on effort upon written approval of the sponsor. This approval must be on file in the RSPO. The use of residual funding from a current project must be detailed in the follow-on proposal budget.